

BrokerCheck Report

Mike Worthington

CRD# 1694611

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.



Mike Worthington

CRD# 1694611

Currently employed by and registered with the following Firm(s):

IA J.P. MORGAN SECURITIES LLC
 630 E Blithedale Ave
 Mill Valley, CA 94941
 CRD# 79
 Registered with this firm since: 12/22/2014

B J.P. MORGAN SECURITIES LLC
 630 E Blithedale Ave
 Mill Valley, CA 94941
 CRD# 79
 Registered with this firm since: 12/19/2014

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 27 Self-Regulatory Organizations
- 17 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- IA AMERITAS INVESTMENT CORP**
 CRD# 14869
 LINCOLN, NE
 05/2014 - 12/2014
- B AMERITAS INVESTMENT CORP.**
 CRD# 14869
 SAN FRANCISCO, CA
 05/2014 - 12/2014
- B WTS PROPRIETARY TRADING GROUP LLC**
 CRD# 148117
 NEW YORK, NY
 04/2014 - 04/2014

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 27 SROs and is licensed in 17 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **J.P. MORGAN SECURITIES LLC**

Main Office Address: **270 PARK AVENUE
NEW YORK, NY 10017**

Firm CRD#: **79**

	SRO	Category	Status	Date
B	24X National Exchange LLC	General Securities Representative	Approved	10/31/2025
B	BOX Exchange LLC	General Securities Representative	Approved	12/19/2014
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	09/13/2019
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	09/13/2019
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	12/19/2014
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	09/13/2019
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	09/13/2019
B	Cboe Exchange, Inc.	General Securities Representative	Approved	12/19/2014
B	FINRA	General Securities Representative	Approved	12/19/2014
B	Investors' Exchange LLC	General Securities Representative	Approved	08/30/2016
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	04/27/2020
B	MEMX LLC	General Securities Representative	Approved	02/16/2021
B	MIAX Emerald, LLC	General Securities Representative	Approved	03/22/2019
B	MIAX PEARL, LLC	General Securities Representative	Approved	09/13/2019
B	MIAX Sapphire	General Securities Representative	Approved	09/23/2024



Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	09/13/2019
B	NYSE American LLC	General Securities Representative	Approved	12/19/2014
B	NYSE Arca, Inc.	General Securities Representative	Approved	12/19/2014
B	NYSE National, Inc.	General Securities Representative	Approved	05/18/2018
B	NYSE Texas, Inc.	General Securities Representative	Approved	12/19/2014
B	Nasdaq BX, Inc.	General Securities Representative	Approved	12/19/2014
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	12/19/2014
B	Nasdaq ISE, LLC	General Securities Representative	Approved	12/19/2014
B	Nasdaq MRX, LLC	General Securities Representative	Approved	03/24/2016
B	Nasdaq PHLX LLC	General Securities Representative	Approved	12/19/2014
B	Nasdaq Stock Market	General Securities Representative	Approved	12/19/2014
B	New York Stock Exchange	General Securities Representative	Approved	12/19/2014

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	10/26/2023
B	Arizona	Agent	Approved	06/20/2018
B	California	Agent	Approved	12/22/2014
IA	California	Investment Adviser Representative	Approved	12/22/2014
B	Florida	Agent	Approved	11/09/2023
B	Hawaii	Agent	Approved	11/07/2019
B	Idaho	Agent	Approved	05/27/2021



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Kansas	Agent	Approved	02/18/2026
B	Montana	Agent	Approved	07/22/2022
B	Nevada	Agent	Approved	04/24/2023
B	New Jersey	Agent	Approved	03/13/2025
B	New York	Agent	Approved	05/31/2021
B	North Carolina	Agent	Approved	10/17/2022
B	Oregon	Agent	Approved	06/07/2021
B	Pennsylvania	Agent	Approved	08/20/2025
B	Texas	Agent	Approved	10/18/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	10/22/2019
B	Utah	Agent	Approved	10/17/2022
B	Washington	Agent	Approved	07/21/2021

Branch Office Locations

J.P. MORGAN SECURITIES LLC

630 E Blithedale Ave
Mill Valley, CA 94941



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Limited Representative-Equity Trader Exam	Series 55	11/10/2010
B General Securities Representative Examination	Series 7	10/13/2010

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	05/03/2012
B Uniform Securities Agent State Law Examination	Series 63	12/20/2010

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Broker Qualifications

Professional Designations

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 05/2014 - 12/2014	AMERITAS INVESTMENT CORP	14869	SAN FRANCISCO, CA
B 05/2014 - 12/2014	AMERITAS INVESTMENT CORP.	14869	SAN FRANCISCO, CA
B 04/2014 - 04/2014	WTS PROPRIETARY TRADING GROUP LLC	148117	NEW YORK, NY
B 10/2010 - 05/2012	S F SENTRY SECURITIES, INC.	27432	SAN FRANCISCO, CA

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
01/2017 - Present	JP MORGAN SECURITIES, LLC	PRIVATE CLIENT ADVISOR	Y	NOVATO, CA, United States
01/2016 - Present	JPMORGAN CHASE BANK	PRIVATE CLIENT ADVISOR	Y	NOVATO, CA, United States
11/2014 - 01/2017	J.P.MORGAN SECURITIES	FINANCIAL ADVISOR ASSOCIATE	Y	SAN RAFAEL, CA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

No information reported.



Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	PACIFIC STOCK EXCHANGE
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	CENSURE
Date Initiated:	11/27/2002
Docket/Case Number:	05-03
Employing firm when activity occurred which led to the regulatory action:	SEQUOIA TRADING
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Allegations:	<p>WORTHINGTON AND SEQUOIA VIOLATED PCXE RULE 7.22(C) WHEN WORTHINGTON, ON BEHALF OF SEQUOIA, TERMINATED SEQUOIA'S REGISTRATION AS AN ARCAEX MARKET MAKER IN GE WITHOUT GIVING THE REQUIRED ADVANCE WRITTEN NOTICE OF TERMINATION TO PCXE. ADDITIONALLY, WORTHINGTON AND SEQUOIA FAILED TO ENGAGE IN A COURSE OF DEALINGS FOR THEIR OWN ACCOUNT TO ASSIST IN THE MAINTENANCE OF FAIR AND ORDERLY MARKETS, IN VIOLATION OF PCXE RULES 7.23(A) THROUGH (C), IN THAT WORTHINGTON, ON BEHALF OF</p>



SEQUOIA, ALLOWED SEQUOIA'S MMAT AND ITS AT TO DEPART SEQUOIA'S OFFICE FOR THE DAY DURING CORE TRADING HOURS, WITHOUT LEAVING ANYONE IN SEQUOIA'S OFFICE TO CONDUCT, MONITOR OR SUPERVISE SEQUOIA'S MARKET MAKING ACTIVITIES IN GE, AND WITHOUT OBTAINING EXCHANGE APPROVAL TO VOLUNTARILY TERMINATE SEQUOIA'S REGISTRATION AS AN ARCAEX MARKET MAKER IN GE FOR THE REMAINDER OF THE DAY. ADDITIONALLY, WORTHINGTON AND SEQUOIA VIOLATED PCXE RULE 6.2(B) WHEN WORTHINGTON, ON BEHALF OF SEQUOIA, WILLFULLY VIOLATED PCXE RULES 7.22(C) AND 7.23(A)-(C). FINALLY, WORTHINGTON AND SEQUOIA VIOLATED PCXE RULE 6.11 WHEN WORTHINGTON, ON BEHALF OF SEQUOIA, FAILED TO NOTIFY THE EXCHANGE OF SEQUOIA'S FINANCIAL ARRANGEMENT WITH ANOTHER INDIVIDUAL WITHIN THE TIME AND MANNER SPECIFIED BY PCX.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 06/01/2005

Sanctions Ordered: Censure
Monetary/Fine \$7,000.00

Other Sanctions Ordered:

Sanction Details: \$7,000.00 FINE, JOINT AND SEVERAL WITH SEQUOIA TRADING, PAID IN TWO EQUAL INSTALLMENTS AT THE END OF JUNE 2005 AND AT AT THE END OF JULY 2005.

Reporting Source: Broker

Regulatory Action Initiated By: PACIFIC STOCK EXCHANGE

Sanction(s) Sought: Censure
Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 11/27/2002

Docket/Case Number: 05-03



Employing firm when activity occurred which led to the regulatory action:	SEQUOIA TRADING
Product Type:	Equity Listed (Common & Preferred Stock)
Allegations:	<p>WORTHINGTON AND SEQUOIA VIOLATED PCXE RULE 7.22(C) WHEN WORTHINGTON, ON BEHALF OF SEQUOIA, TERMINATED SEQUOIA'S REGISTRATION AS AN ARCAEX MARKET MAKER IN GE WITHOUT GIVING THE REQUIRED ADVANCE WRITTEN NOTICE OF TERMINATION TO PCXE. ADDITIONALLY, WORTHINGTON AND SEQUOIA FAILED TO ENGAGE IN A COURSE OF DEALINGS FOR THEIR OWN ACCOUNT TO ASSIST IN THE MAINTENANCE OF FAIR AND ORDERLY MARKETS, IN VIOLATION OF PCXE RULES 7.23(A) THROUGH (C), IN THAT WORTHINGTON, ON BEHALF OF SEQUOIA, ALLOWED SEQUOIA'S MMAT AND ITS AT TO DEPART SEQUOIA'S OFFICE FOR THE DAY DURING CORE TRADING HOURS, WITHOUT LEAVING ANYONE IN SEQUOIA'S OFFICE TO CONDUCT, MONITOR OR SUPERVISE SEQUOIA'S MARKET MAKING ACTIVITIES IN GE, AND WITHOUT OBTAINING EXCHANGE APPROVAL TO VOLUNTARILY TERMINATE SEQUOIA'S REGISTRATION AS AN ARCAEX MARKET MAKER IN GE FOR THE REMAINDER OF THE DAY. ADDITIONALLY, WORTHINGTON AND SEQUOIA VIOLATED PCXE RULE 6.2(B) WHEN WORTHINGTON, ON BEHALF OF SEQUOIA, WILLFULLY VIOLATED PCXE RULES 7.22(C) AND 7.23(A)-(C). FINALLY, WORTHINGTON AND SEQUOIA VIOLATED PCXE RULE 6.11 WHEN WORTHINGTON, ON BEHALF OF SEQUOIA, FAILED TO NOTIFY THE EXCHANGE OF SEQUOIA'S FINANCIAL ARRANGEMENT WITH ANOTHER INDIVIDUAL WITHIN THE TIME AND MANNER SPECIFIED BY PCX.</p>
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	06/01/2005
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)



Total Amount:	\$7,000.00
Portion Levied against individual:	\$7,000.00
Payment Plan:	\$7,000.00 FINE, JOINT AND SEVERAL WITH SEQUOIA TRADING, PAID IN TWO EQUAL INSTALLMENTS AT THE END OF JUNE 2005 AND AT AT THE END
Is Payment Plan Current:	Yes
Date Paid by individual:	06/30/2005
Was any portion of penalty waived?	No
Amount Waived:	

End of Report



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